SECNAVINST 5230.9A
NAVDAC-10

1 6 OCT 1985

SECNAV INSTRUCTION 5230.9A

From: Secretary of the Navy

Subj: INFORMATION RESOURCES (IR) PROGRAM PLANNING

Ref: (a) SECNAVINST 5230.4 (NOTAL)   (R
     (b) SECNAVINST 5231.1B
     (c) SECNAVINST 5224.1 (NOTAL)

Encl: (1) IR Program Planning
      (2) Functional Sponsor Planning Requirements
      (3) Component Planning Requirements

1. **Purpose.** To revise policies and responsibilities for program   (R
planning under reference (a). Major changes include:

    a. The term "automatic data processing (ADP)" has been
replaced with "IR" to indicate an expansion in scope and change
in emphasis. Planning to identify and satisfy information
requirements throughout the Department of the Navy (DON),
including requirements supported by manual systems, is now most
important. Automation planning is secondary.

    b. IR program planning now focuses on developing an inte-
grated approach and overall framework for meeting DON require-
ments for information. Detailed planning for individual
information systems (IS) which are automated and ADP equipment
systems is deferred until automation projects are initiated under
reference (b).

    c. The annual program planning cycle has been revised to fit
in better with functional sponsor planning schedules and to   .
improve the timeliness of DON guidance for IR planning.

    d. Information System Support Plans are replaced by Compo-
nent Information Management Plans (CIMPs). Functional Management
Automation Plans are replaced by Information Requirements Plans.
IR security considerations are to be addressed at all levels of
planning.

    e. Second echelon organizations previously excluded from
program planning reporting requirements are now included.

2. **Cancellation.** SECNAVINST 5230.9   (A

3. **Background.** DON-wide automation planning began in 1978. The planning requirements established by this directive have evolved since that time. The relationship of these requirements to other DON management requirements is discussed in enclosure (1).

4. **Scope and Applicability.** This instruction requires planning for DON information support to the functions listed in enclosure (2). All DON components and major subordinate commands and offices participate in the planning. Plans will be updated as required to reflect changes and submitted annually for departmental-level review.

5. **Definitions.** The following definitions apply:

    a. **Information.** Knowledge such as facts, data or opinions in numerical, graphic or narrative forms whether oral or maintained in mediums such as computerized data bases, paper, microform or magnetic tape.

    b. **IR.** Information itself and all resources related to its management; including personnel, equipment, funds, and technology.

    c. **IR Management.** The planning, budgeting, organizing, directing, training, and control associated with information. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and technology.

    d. **Information Technology.** The hardware and software used in connection with information, including computers, telecommunications, micrographics, and all other relevant technologies.

    e. **IS Architecture.** A statement of information requirements, flows, and systems interfaces showing how individual systems fit together to form a comprehensive whole. Architectures are developed to show: (1) the current or baseline situation; (2) the planned or intermediate situation when all currently programmed actions are implemented; and (3) the target situation or ultimate desired structure. IS architecture studies assist in the definition of planning objectives.

    f. **Multicommand IS.** IS that support functions performed in two or more echelon 2 commands.

6. **Planning Objectives.** Within the framework provided by IS architecture studies, planning objectives are:

    a. To facilitate information support planning in the DON.

    b. To develop and carry out IR management policies, goals,

objectives, and strategies in a uniform manner in all DON organizations.

c. To involve senior line managers in IR program planning.

d. To link mission accomplishment planning with IR program planning.

e. To plan for the total information support environment, including office automation and word processing requirements.

f. To identify opportunities for initiating and using standard multicommand IS instead of developing component-unique IS.

g. To integrate related information support efforts.

h. To identify and validate IR support requirements prior to initiating requests for additional funding or IR project approvals.

i. To ensure IR security is appropriately addressed throughout the planning process.

j. To document IR requirements at all echelons, creating a basis for:

(1) Assessing current and projected IR support.

(2) Submitting programs and budgets under the DON Planning, Programming, and Budgeting System.

(3) Approving requests for additional resources needed to achieve IR management objectives.

(4) Preparing Mission Element Need Statements to initiate IR projects under reference (b).

(5) Granting IR project approvals under reference (b).

7. **Planning Process**. The planning process addresses strategic   (R
IR planning and IR requirements planning. Line managers and IR
managers at both departmental and component levels participate.
Figure 1 shows the annual planning cycle and the plans generated
at each level and step of the process.

a. **Strategic IR Planning**. DON strategic IR planning is a   (R
continuous process.

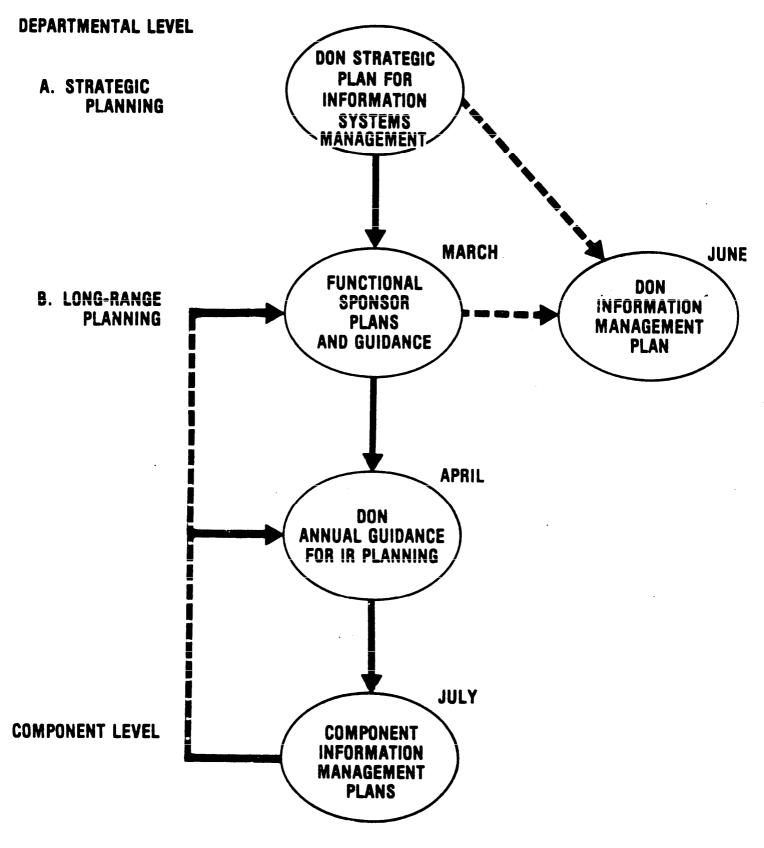A) **DEPARTMENT OF THE NAVY (DON) INFORMATION RESOURCES (IR) PROGRAM PLANNING**

DEPARTMENTAL LEVEL

A. STRATEGIC PLANNING

DON STRATEGIC PLAN FOR INFORMATION SYSTEMS MANAGEMENT

MARCH

FUNCTIONAL SPONSOR PLANS AND GUIDANCE

JUNE

DON INFORMATION MANAGEMENT PLAN

B. LONG-RANGE PLANNING

APRIL

DON ANNUAL GUIDANCE FOR IR PLANNING

JULY

COMPONENT LEVEL

COMPONENT INFORMATION MANAGEMENT PLANS

Figure 1

4

(1) A key ingredient in strategic IR planning is analysis of the total DON information support environment and the development of strategies to respond to that environment. Major policies, goals, and management strategies are developed that influence IR-related decisions within the DON. These provide the framework for IR planning at departmental, component and activity levels.

(2) This broad strategic framework serves as a catalyst and as a unifying agent. It provides direction for the planning and execution of individual initiatives, such as IS development and IR acquisition and use. Results are documented in the DON Strategic Plan for Information Systems Management (ISM).

b. IR Requirements Planning. Requirements planning for IR starts in January each year.   (R

(1) During requirements planning, strategic direction is coordinated with component IR requirements. The result is an integrated DON-wide long-range plan for managing information, starting with the upcoming fiscal year and extending 1 year beyond the period covered by the Five Year Defense Program.

(2) The major focus of IR requirements planning is the analysis of DON requirements for information. This analysis involves a dialog between functional managers throughout the DON who need information to accomplish their missions, and departmental-level functional sponsors who exercise DON-wide functional policy oversight.

(3) Requirements planning is the process of analyzing major organizational functions. Current and anticipated information needs are evaluated. Shortfalls in satisfying those needs are identified. Plans for eliminating those shortfalls are validated. Needs for IR projects are surfaced, thus forecasting and complementing planning done later under the system life cycle management process established by reference (b).

(4) Beginning in January and continuing through April,   (R
requirements planning is done at the departmental level.

(a) Starting in January, functional sponsors develop DON-wide Functional Sponsor Plans (FSP). FSP summarize actions planned to develop standard multicommand IS and achieve other strategic IM objectives.

5

(b) In mid-February, the IR Planning Committee meets. It reviews tentative FSP to ensure appropriate interfaces and integration between functional area planning. General guidance for forthcoming component planning efforts is reviewed and approved.

(c) In mid-March, functional sponsors submit their formal FSP to the Director, DON Information Resources Management (IRM). These FSP are distributed to components as part of annual planning guidance published each April.

(d) The end result of requirements planning at the departmental level is a top-down view of the Navy's information requirements and associated IR support plans. It is published in June each year in the DON Information Management Plan (IMP).

(5) From April through July, requirements planning is done at the component level.

(a) Each April, a call for component plans is issued by the Director, DONIRM. It transmits the results of long-range planning at the departmental level, not officially published in the DON IMP until June. Specific guidance includes current FSP and areas of emphasis for component planning.

(b) Component planning develops a framework for IR support within the component headquarters and all subordinate organizations. Emphasis is on supporting the component's missions and functions within the context established by departmental strategic and long-range plans.

(c) By mid-July, requirements planning at the component level has been documented in Component Information Management Plan (CIMP). CIMP or CIMP changes are then submitted for departmental-level review.

(d) In mid-August, the IR Planning Committee meets to review CIMPs. At the conclusion of this review, the Senior Official for IRM provides guidance individually to each component for use in the following year's CIMP update.

8. Action

a. Senior Official for IRM. The Senior Official for IRM designated by reference (c) will:

(1) Review and promulgate the DON Strategic Plan for ISM and the DON IMP.

(2) Provide each component with specific guidance, concerning the component's CIMP or CIMP changes.

(3) Provide guidance to the IR Planning Committee.

b. <u>Director, DONIRM</u>. The Director, DONIRM will:

(1) Chair sessions of the IR Planning Committee.

(2) Develop the DON Strategic Plan for ISM and the DON IMP in coordination with the IR Planning Committee, the Marine Corps, and functional sponsors designated by this instruction.

(3) Develop annually IR planning guidance for reporting components.

(4) Recommend to the Senior Official for IRM that component planning be redirected, as appropriate.

(5) Review annually the effectiveness of the planning process established by this instruction and recommend appropriate changes when needed.

c. <u>IR Planning Committee</u>. A committee is established to assist in DON-wide IR planning.

(1) The IR Planning Committee will meet twice each year. A functional sponsor planning session will be held in mid-February to review sponsor FSP. A component planning session will be held in mid-August to review component CIMPs.

(2) The IR Planning Committee will consist of one member from each of the following offices:

> Deputy Comptroller of the Navy
> Chief of Naval Research
> Auditor General
> Assistant Vice Chief of Naval Operations (OP-09B)
> Director, Program Planning (OP-090)
> Director, Naval Medicine (OP-093)
> Director, Space, Command and Control (OP-094)
> Director, Naval Warfare (OP-095)
> Director, Research, Development, Test and Evaluation
>   (OP-098)
> Naval Inspector General (OP-008)
> Director of Naval Intelligence (OP-009)
> Deputy Chief of Naval Operations (Manpower, Personnel
>   and Training) (OP-01)

Deputy Chief of Naval Operations (Submarine Warfare)
(OP-02)
Deputy Chief of Naval Operations (Surface Warfare)
(OP-03)
Deputy Chief of Naval Operations (Logistics) (OP-04)
Deputy Chief of Naval Operations (Air Warfare)
(OP-05)
Deputy Chief of Naval Operations (Plans, Policy, and
Operations (OP-06)
Commander in Chief, U.S. Atlantic Fleet
Commander in Chief, U.S. Pacific Fleet
Commander in Chief, U.S. Naval Forces Europe
Commander, Naval Air Systems Command
Commander, Space and Naval Warfare Systems Command
Commander, Naval Facilities Engineering Command
Commander, Naval Supply Systems Command
Commander, Naval Sea Systems Command
Commander, Naval Data Automation Command
Director, Command, Control, Communications and
Computer Systems Division, Headquarters U.S.
Marine Corps (Code C4)

(3) Members' responsibilities are to:

(a) Evaluate proposed IR plans against DON-wide
goals, objectives, management strategies, and planning assump-
tions inherent in providing IR support to DON missions and
functions.

(b) Ensure functional plans and requirements for IR
support are integrated to conform with DON-wide perspectives.

(c) Propose changes in the DON IR program planning
structure, as required.

(4) The IR Planning Committee will be headed by the
Director, DONIRM. Offices and commands listed in paragraph (2)
will designate a member as their representative.

d. **Marine Corps**. The Marine Corps will submit input to the
DON Information Management Plan in the form of the Marine Corps
Information Management Plan.

e. **Functional Sponsors**. Departmental-level functional
sponsors, as designated in enclosure (2), will:

(1) Develop and document FSP per enclosure (2). Develop

annual functional planning guidance containing special instructions and items of particular interest to be considered by components in their annual IR planning. Both the FSP and annual planning guidance will be submitted to the Director, DONIRM by 15 March each year.

(2) Participate in IR Planning Committee sessions in February and August each year.

(3) Review CIMPs prepared per enclosure (3).

(a) Ensure that component information objectives conform to applicable functional policy, are consistent with DON-wide objectives, and do not propose to automate processes already automated by operational systems or those approved for development.

(b) Ensure that special interest areas such as wartime information requirements, IS standardization and IR security have been adequately considered.

(c) Recommend to the Director, DONIRM that component planning be redirected, as appropriate.

f. **Components.** Components, major commands, and offices designated in enclosure (3) will:

(1) Define organizational requirements for IR support, including participation in multicommand systems cited in the DON IMP.

(2) Prepare a CIMP per enclosure (3) and submit it for departmental-level review and approval: one copy to the Director, DONIRM, one copy to each functional sponsor, and three copies to the Naval Data Automation Command (NAVDAC) (Code 16).

(3) Update approved CIMP annually, preferably by generating page changes to the prior year's CIMP. Submit the revised plan or page changes as specified in (2) above so as to arrive not later than 15 July each year, preparatory to a DON-wide IR Planning Committee session in mid-August.

(4) Provide copies of CIMP and CIMP changes to all organizations having a funding or other management responsibility for planned actions.

g. **Commander, NAVDAC (COMNAVDAC).** COMNAVDAC will:

(1) Support the Senior Official for IRM, the Director, DONIRM, and the IR Planning Committee as requested in carrying out their responsibilities under this instruction.

(2) Support the Director, DONIRM in developing the DON Strategic Plan for ISM and the DON IMP.

(3) Support the Director, DONIRM in developing annual planning guidance for reporting components.

(4) Review CIMPs prepared per enclosure (3).

(a) Ensure that component information objectives conform to applicable IR policy and are consistent with DON-wide IR objectives.

(b) Ensure that special interest areas such as technology obsolescence and IR security have been adequately considered.

(c) Recommend to the Director, DONIRM that component planning be redirected, as appropriate.

9. Report. Symbol OPNAV 5230-8 has been assigned to the requirement contained in paragraph 8e(1) and symbol OPNAV 5230-9 has been assigned to the requirement contained in paragraph 8f(2). These reports are approved for 3 years only from the date of this instruction.

E. T. CONN
Assistant Secretary of the Navy
(Financial Management)

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13

Information Resources (IR) Program Planning

The relationship between IR program planning, the Department of the (R
Navy (DON) Planning, Programming and Budgeting System (PPBS), and
other DON IR management requirements is described in the following
paragraphs.

A. **PPBS**. The PPBS process provides the framework for DON IR
program planning and resource acquisition. It involves the
following sequential actions:

   1. **Planning**. The planning phase of PPBS involves forecasting
future conditions, evaluating the impact of anticipated changes
caused by technology, policy and other contingencies, and judging
whether expected changes produce good or bad results. The planning
requirements in this instruction support the planning phase of
PPBS. Component Information Management Plans (CIMP) are reviewed
at the departmental level before resource issues are submitted
during the programming phase of PPBS.

   2. **Programming**. In the programming phase of PPBS, alterna-
tives for improving future outcomes are costed, selected and
prioritized. This phase is also called the Program Objectives
Memorandum (POM) process.

   3. **Budgeting**. Next is the budget phase. It focuses on near-
term costs, spending history, and the business feasibility of
proposed expenditures for alternatives approved during the POM
process.

   4. **Accounting**. After budget approval and apportionment, the
accounting phase takes over. It provides funding control as well
as data for the final phase, auditing.

   5. **Auditing**. Auditing verifies achievement of planned
outcomes and associated costs.

B. **IR Management**

   1. **Program Planning**. The plans prepared under this instruc-   (R
tion provide an overview of all DON requirements for information
and related IR support. Each different IR objective discussed in a
Functional Sponsor Plan (FSP) or CIMP will normally require its own
separate project plan, once it is validated and becomes part of the
approved requirements program.

   2. **Project Planning**. Project planning involves the development (R
of a detailed Plan of Action and Milestones to achieve a particular

objective, one of many outlined in FSP and CIMP. A plan for development of an information system is an example of a project plan.

R)   3. <u>Life Cycle Management</u>. CIMP document requirements for IR projects that later are initiated and managed under reference (b). The Mission Element Need Statement, which initiates the first detailed review of a proposed IR project, will be compared with the component's CIMP to ensure that it is consistent with the overall plans of the submitting organization.

R)   4. <u>Acquisition</u>. CIMP identify requirements for additional information resources. As these requirements are individually submitted for approval under existing directives, they will be compared with the submitting organization's CIMP to ensure consistency with approved milestones, schedules, and costs.

2

Functional Sponsor Planning Requirements

Part I designates departmental-level functional sponsors and
their areas of expertise.

Part II describes the Functional Sponsor Plan (FSP) and how it is
prepared.

PART I. Functional Sponsors

Functional sponsors are designated below for the functions
listed. The Commandant of the Marine Corps (Code CC) will ensure
that Marine Corps functional plans conform with Department of the
Navy (DON) information resources (IR) direction. To help ensure
that a DON-wide perspective is maintained in IR planning, Navy
and Marine Corps functional counterparts are encouraged to
exchange information and ideas about their IR efforts.

SPONSOR	FUNCTIONAL AREA
Chief of Naval Operations (CNO) (OP-945)	IR Management
CNO (OP-093)	Medical Services
CNO (OP-09R)	Reserve Affairs
CNO (OP-03)	Construction, Overhaul, Repair and Maintenance Ships
CNO (OP-04)	Supply
	Transportation
	Safety
	Shore Facilities-Navy
	Base Operating Support
CNO (OP-05)	Aviation Logistics
CNO (OP-06)	Military Assistance
	Navigation, Time, Frequency
CNO (OP-01)	Manpower, Personnel, and Training
CNO (OP-090)/Department of the Navy Program Information Center	Five-Year Defense Program Programming
Deputy Comptroller of the Navy	Budgeting
	Accounting
General Counsel	Legal-Civil
Judge Advocate General	Legal-Military
CNO (OP-008)	Inspection

PART II. FUNCTIONAL SPONSOR PLAN (FSP)

A. _Purpose_. FSPs document DON-wide requirements for IR support to major functional areas. They are prepared by the functional sponsors designated in Part I and should:

   1. Present a DON-wide perspective of the information requirements and IR support needed in each functional area.

   2. Document plans for supporting DON information requirements on a multicommand basis.

   3. Specify goals in each of the following areas: (1) life cycle management of automated information systems; (2) standards for comparative measurement, evaluation, and interface; (3) resource control, and (4) implementation of IR security.

   4. Reflect initiatives resulting from functional sponsor review and analysis of Component Information Management Plans.

B. _Scope_. FSPs will be prepared for each functional area listed in Part I. Functional sponsors may prepare separate plans for individual subfunctions if desired. Classified information will be omitted.

C. _Process_. Prepare FSPs per attachment A. Plans should be succinct enough to be published as part of the DON Information Management Plan.

Enclosure (2)

FUNCTIONAL SPONSOR PLANS

A. Functional Area Name. Cite name of functional area from list in Part I. Where appropriate for greater clarity, discuss major subfunctions individually.

B. Overview. Describe the functional area from a Department of the Navy (DON)-wide perspective. How does it relate to the DON's overall mission? What are the major functions comprising the functional area? Which major DON organizations perform the functions? How will the nature of the functional area change during wartime?

C. Information Requirements Summary. Provide a general Navy-wide description of the information requirements associated with the functional area. Relate information requirements to functions and organizations. Describe information requirements which appear to be multicommand in nature. Describe information interfaces with other functional areas and any problems with those interfaces. Discuss information requirements in wartime. Where possible, provide a graphic presentation (data flow diagram, data class/function matrix, etc.) of information requirements.

(A

D. Current Information Support. Describe major information systems (IS) currently supporting the functional area. Discuss interfaces among IS supporting the functional area and interfaces with IS supporting other functional areas. Describe current policies and procedures for involving the user community in the planning and development of IS. Discuss major deficiencies of current information resources (IR) support which impede functional performance. Discuss IR security strengths and weaknesses.

(R

E. Standard IS Plans. Describe plans for developing standard multicommand IS. Identify IS to be replaced by standard systems and discuss schedules for phasing in new systems. For each standard system, identify organizations which will be users, those which should be users but have not yet made such plans, and those which have a requirement in the functional area which cannot be accommodated by the currently planned standard IS. Relate planned IS to the information requirements they will support.

(A

F. Management Goals, Objectives, and Strategies. Discuss major functional goals and objectives expected to influence the nature of IR support over the long-term. Describe management goals, objectives, and strategies for improving future IR support and security.

R)   G.   <u>Requirements Summary</u>.   List, per format A, standard IS which are planned to support this functional area.

A)   H.   <u>Point of Contact</u>.   List person, office, and phone number from which to obtain additional planning information.

Attachment A to
Enclosure (2)

REQUIREMENTS SUMMARY

Functional Area _____   Navy-Wide Sponsor _____

AIS Title/Acronym/ System Number	Planned Operational Date (FY)	Responsible Functional Manager (Command/Activity)	Interfaces With Other Functional Areas	Expected User Commands/Activities

FORMAT A

Component Planning Requirements

A. <u>General</u>. Component Information Management Plans (CIMP) or changes to previously approved CIMP will be prepared by the components listed below. CIMP will document information requirements internal to the command headquarters and all subordinate activities, including planned participation in multicommand information systems (IS).

Components Responsible for Planning

Auditor General of the Navy
Deputy Comptroller of the Navy
Director, Department of the Navy (DON) Information Resources Management (IRM) including plans for the:
    Immediate Office of the Secretary
    General Counsel
    Chief of Information
    Judge Advocate General
    Chief of Legislative Affairs
    Director, Office of Program Appraisal
    Director, DON Program Information Center
Chief of Naval Research
Chief of Naval Operations (CNO) including plans for the:
    Office of CNO
    Director, Strategic Systems Program Office
    Director, Office of Naval Acquisition Support
    Commandant, Naval District Washington
    Superintendent, U.S. Naval Academy
    Superintendent, Naval Postgraduate School
    President, Naval War College
    Superintendent, Naval Observatory
    President, Board of Inspection and Survey
    Commander, OPNAV Support Activity
    Commanding Officer, Navy Internal Relations Activity
    Commander, Naval Safety Center
    Director, Naval Historical Center
    Director, Naval Tactical Support Activity
    Commanding Officer, Navy Tactical Interoperability
      Support Activity
    Commanding Officer, Organizational Effectiveness Center
    Director, Field Support Activity
    Director, Naval Broadcasting Service
    Commander, Naval Imaging Command
Commander in Chief, U.S. Atlantic Fleet
Commander in Chief, U.S. Pacific Fleet

Commander in Chief, U.S. Naval Forces Europe
Commander, U.S. Naval Forces Central Command
Commander, U.S. Naval Forces Southern Command
Commander, Naval Reserve Force
Commander, Mine Warfare Command
Commander, Operational Test and Evaluation Force
Commander, Military Sealift Command
Commander, Naval Oceanography Command
Commander, Naval Security Group Command
Commander, Naval Telecommunications Command
Commander, Naval Medical Command
Chief of Naval Personnel, including plans for the:
    Commander, Naval Military Personnel Command
    Commander, Navy Recruiting Command
    Director, Naval Civilian Personnel Command
Commander, Naval Air Systems Command
Commander, Space and Naval Warfare Systems Command
Commander, Naval Facilities Engineering Command
Commander, Naval Supply Systems Command
Commander, Naval Sea Systems Command
Commander, Naval Data Automation Command
Commander, Naval Investigative Service Command
Commander, Naval Space Command
Commander, Naval Legal Service Command
Commander, Naval Intelligence Command
Chief of Naval Education and Training

B.   <u>Responsibilities</u>. Planning involves:

R)   1. <u>Information Resources (IR) Management Staff</u>. The IR management staff at component headquarters will coordinate the planning and prepare section I of the CIMP per attachment A. It summarizes the component's total requirements.

R)   2. <u>Functional Managers</u>. Managers from each functional area will prepare Information Requirements Plans (IRPs) per attachment B. These managers should provide a component-wide perspective of information requirements at subordinate activities as well as headquarters. The IRPs are included in section II of the CIMP.

R) C. <u>Planning Process</u>. Each component should develop a general IS architecture supporting total component requirements and an overall strategy for achieving it. This serves as the point of departure for coordinated IR planning efforts, and should be reflected in section I of the CIMP. The following steps then serve as a general guide for participants.

2

1. <u>Defining Requirements</u>. Functional managers will   (A
establish a baseline of known and anticipated requirements for IR
support to achieve the target IS architecture. This requirements
baseline will be the basis for requesting Program Objectives
Memorandum, budget, and IR approvals. Establishing the require-
ments baseline is a three-step process:

    a. Documenting requirements in a uniform manner that
facilitates identification of similar needs.

    b. Establishing specific objectives for meeting current
and projected needs and developing Plans of Action and Milestones
(POA&M).

    c. Estimating resources needed to support the require-
ments baseline.

2. <u>Validating Requirements</u>. Functional managers will review   (A
information requirements to:

    a. Confirm perceived needs for IR support within their
respective areas of expertise.

    b. Assess the operational, technical, and economic
feasibility of proposed POA&M.

    c. Promote efficient use of IR from a command-wide
perspective.

3. <u>Documenting Plans</u>. Component planning will generally   (A
result in one or more IR planning documents. Information of
interest at the departmental-level is extracted from these
component plans and submitted in the CIMP per attachments A and
B.

4. <u>Coordinating Plans</u>. Components will distribute their   (A
plans to all other DON components and organizations affected by
planned actions. This includes providing CIMP to:

    a. System participants: Those who submit input data,
use output information, or provide funding for existing and
planned automated IS.

    b. IR service organizations: Computer system design
activities and data processing installations.

A)   5. <u>Updating Plans</u>. Components will review their CIMP annually and update them, as needed to reflect changes. Changes will be submitted for review, approval, and coordination as provided in paragraph 8f of the instruction.

R)   D. <u>CIMP</u>. The CIMP is to be documented in a standard format with two sections.

1. <u>Section I - Plan Summary</u>. It highlights the component's IR support requirements and the funds needed to provide that support. Prepare section I per attachment A.

2. <u>Section II - IRPs</u>. Section II consists of a set of IRPs. An IRP is required for each function listed in enclosure (2) which is performed by the component. The format and content of the IRP is described in attachment B.

4

Enclosure (3)

SECTION I

PLAN SUMMARY

PART A. EXECUTIVE OVERVIEW

1. <u>Originating Organization</u>. Identify the office responsible for preparing the Component Information Management Plans (CIMP).

2. <u>Organization for Information Management (IM)</u>. Describe   (R
management structure for IR planning and implementation,
including steering groups and other committees responsible for
overseeing the effort throughout the component organization.

3. <u>Mission Requirements</u>. Provide an overview of the mission and   (R
functions which generate information requirements supported by
the CIMP. Address IR security as it relates to mission and
functions.

4. <u>Information Systems (IS) Architecture</u>. Although not   (A
required, components are strongly encouraged to develop a
component-wide IS architecture. An IS architecture provides a
general overview which relates the organization's information
requirements to its missions and functions and to its organi-
zational structure (i.e., What information is needed? By whom?
To support which organizational missions and functions?). It
should provide a graphic model for ensuring that individual IS
fit together to most effectively support the total information
requirement.

5. <u>IM Objectives</u>. Identify the organization's major informa-   (R
tion-related objectives, including those related to IR security.
Where appropriate, relate the objectives to the IS architecture.
Discuss general strategies for achieving the objectives.

6. <u>IR Acquisitions</u>. Provide a general discussion of the organi-   (A
zations's overall acquisition strategy. Discuss individual
acquisition actions by relating them to the overall IS architec-
ture and to major IM objectives. List, in the format at figure
1, planned acquisitions expected to exceed $1 million.

PART B. RESOURCE REQUIREMENTS

Resources shown in the Plan Summary should be what is needed in   (R
addition to what is included in the approved Five-Year Defense
Program (FYDP) at the time the CIMP is submitted. Summarize by
appropriation as shown in figure 2. Projected requirements for

Attachment A to
Enclosure (3)

initiatives not previously reviewed by senior echelons are understood to be tentative, pending submission and approval of Program Objectives Memorandum issues following program planning.

2

PLANNED INFORMATION RESOURCE ACQUISITIONS

FUNCTIONAL SPONSOR	INFORMATION SYSTEM (1)	ACQUISITION TYPE (2)	ESTIMATED COST BY APPROPRIATION (3)	PROJECTED CONTRACT AWARD (FISCAL YEAR)	DESCRIPTION/ REMARKS (4)

Notes:

1. Relate to information systems architecture.

2. Equipment, software, maintenance, services.

3. Dollars in millions (e.g., $1.8M represents $1,800,000).

4. Competitive, sole source, assumptions, constraints etc.

Figure 1

Attachment A to
Enclosure (3)

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R)

RESOURCE REQUIREMENTS NOT INCLUDED IN THE
FYDP - COMPONENT SUMMARY

APPROPRIATIONS ($000)	FY 85	FY 86	FY 87	FY 88	FY 89	FY 90	FY 91	FY 92

Operations and Main-
 tenance, Navy
Operations and Main-
 tenance, Naval Reserve
Research, Development
 Test and Evaluation,
 Navy
Military Personnel, Navy
Other Procurement, Navy
Navy Industrial Fund
 o
 o
 o
etcetera
TOTAL

MILITARY END STRENGTH
 OFFICER
 ENLISTED
CIVILIAN END STRENGTH

1. First planning year should reflect upcoming fiscal year (FY). Chart above assumes planning done in FY 84.

2. Five Year Defense Program (FYDP) is the approved FYDP.

SECTION II

INFORMATION REQUIREMENTS PLANS (IRPs)   (R

IRPs provide for more detailed discussion of the component's information requirements. In preparing the IRP, the functional planning staff at component headquarters should consider information requirements of activities at all echelons.

A separate IRP should be prepared for each functional area on the list in enclosure (2) if the function is performed by component activities. Regardless of its major mission area (which may be the same as a functional area), the typical component will perform many of these functions. They are relatively widespread.

IRPs are a vehicle for communicating the information requirements of Navy organizations to Navy-wide functional sponsors. As such, they provide a useful tool for stimulating the initiation and planning of Department of the Navy (DON)-wide information support programs.

The IRP format is:

PART A.   EXECUTIVE OVERVIEW

1. Functional Area. Identify the functional area requiring added information resources (IR) support.

2. Responsible Functional Manager

     a.   Identify the functional manager responsible for information requirements and planning discussed in this IRP.

     b.   Provide telephone and mailing address.

A)   PART B.   INFORMATION REQUIREMENTS

1.   Provide a general description of information requirements associated with the functional area. If possible, include a schematic which relates information requirements to the processes which comprise the functional area and to the organizational activities which perform the function.

2.   Identify major information interfaces with other functional areas, both within the component and with other components.

3.   Describe information requirements during wartime. Identify the differences between wartime and peacetime requirements in:

   a.   The nature and structure of information, and

   b.   The quantity and timeliness of processing requirements.

R)   PART C. IR SUPPORT

1.   Provide a general description of the IR support currently provided to the functional area.

2.   Discuss shortcomings in current IR support, emphasizing the information requirements which are not adequately supported.

3.   Describe plans to improve the information systems (IS) structure to correct deficiencies in current information requirements support or to accommodate future information requirements.

4.   Describe plans to support wartime requirements discussed above.

5.   Address both wartime and peacetime IR security requirements.

6.   Discuss plans to implement multicommand IS to support information requirements described above.

R)   PART D.   RESOURCE REQUIREMENTS

Estimate resources required to fund planned IR support. Display as shown in figure 1.

2

RESOURCE REQUIREMENTS NOT INCLUDED IN
FIVE YEAR DEFENSE PROGRAM (FYDP) - FUNCTION SUMMMARY

APPROPRIATIONS ($000)	FY 85	FY 86	FY 87	FY 88	FY 89	FY 90	FY 91	FY 92
Operations and Maintenance, Navy								
Operations and Maintenance, Naval Reserve								
Research, Development Test and Evaluation, Navy								
Military Personnel, Navy								
Other Procurement, Navy								
Navy Industrial Fund								
o								
o								
o								
etcetera								
TOTAL								

MILITARY END STRENGTH
  OFFICER
  ENLISTED
CIVILIAN END STRENGTH

1. First planning year should reflect upcoming fiscal year (FY). Chart above assumes planning done in FY 84.

2. Chart title should include name of function being addressed.

Figure 3 (1)